

SECTOR 3

35.C12395 CIP

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
YOSHIHIKO FUKUMOTO ) : Examiner: Unassigned  
Application No.: 09/429,530 ) : Group Art Unit: 1765  
Filed: October 28, 1999 ) :  
For: METHOD FOR FABRICATING ) :  
SEMICONDUCTOR DEVICE : December 14, 1999

Box Missing Parts  
The Assistant Commissioner for Patents  
Washington, D.C. 20231

**ATTENTION: APPLICATION PROCESSING DIVISION, SPECIAL  
PROCESSING AND CORRESPONDENCE BRANCH**

RESPONSE TO NOTICE TO FILE MISSING  
PARTS OF APPLICATION - FILING DATE GRANTED

Sir:


In response to the NOTICE TO FILE MISSING PARTS OF  
APPLICATION - FILING DATE GRANTED mailed November 29, 1999,  
enclosed please find an executed Declaration/Power of  
Attorney form, together with the surcharge fee of \$130.00.  
Also enclosed is a copy of the NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED.

The Assistant Commissioner is authorized to charge  
any additional fees or credit any overpayment to Deposit  
Account No. 06-1205. A duplicate copy of this Response is  
attached for that purpose.

3

Applicant's undersigned attorney may be reached in our New York office by telephone at (212) 218-2100. All correspondence should continue to be directed to our address given below.

Respectfully submitted,

  
Attorney for Applicant  
Registration No. 42,667

FITZPATRICK, CELLA, HARPER & SCINTO  
30 Rockefeller Plaza  
New York, New York 10112-3801  
Facsimile: (212) 218-2200

EFH:meg

NY\_MAIN 47593 v 1



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/429,530 10/28/99 FUKUMOTO

Y 35.C12395CIP

005514 0242/1  
FITZPATRICK CELLA HARPER & SCINTO  
30 ROCKEFELLER PLAZA  
NEW YORK NY 10112



NOT ASSIGNED

1765

DATE MAILED:

11/29/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
*Filing Date Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☒ non-small entity is \$ 130.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.  
☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER: \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Customer Service Center

Initial Patent Examination Division (703) 308-1202

12/16/1999 YG1ZAW  
01 FC:105  
0000059 09429530  
130.00 IP

FILE COPY #3  
GP-1765  
RECEIPT



35.C12395 CIP

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
YOSHIHIKO FUKUMOTO ) : Examiner: Unassigned  
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For: METHOD FOR FABRICATING ) :  
SEMICONDUCTOR DEVICE : December 14, 1999

Assistant Commissioner for Patents  
Washington, D.C. 20231

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TC 1700 MAIL ROOM

REQUEST FOR CORRECTED FILING RECEIPT

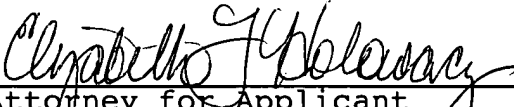
Applicant's attorneys have received an official  
Filing Receipt in the above-identified application in which  
the following is incorrect:

"JAPAN 08/319568 9/26/96" should read --JAPAN  
08/319568 11/29/96--.

Issuance of a corrected Filing Receipt corrected as  
shown above, is accordingly respectfully requested.

Applicant's undersigned attorney may be reached in our New York office by telephone at (212) 218-2100. All correspondence should continue to be directed to our address given below.

Respectfully submitted,

  
Attorney for Applicant  
Registration No. 42667

FITZPATRICK, CELLA, HARPER & SCINTO  
30 Rockefeller Plaza  
New York, New York 10112-3801  
Facsimile: (212) 218-2200

PS:meg

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SERIAL NUMBER 09/429,530	FILING DATE 10/28/99	CLASS 438	GROUP ART UNIT 1765	ATTORNEY DOCKET NO. 35.C12395CIP
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APPLICANT YOSHIHIKO FUKUMOTO, ISEHARA-SHI, JAPAN.

**\*\*CONTINUING DOMESTIC DATA\*\*\*\*\***  
 VERIFIED THIS APPLN IS A CIP OF 08/979,957 11/26/97  
 AND A CIP OF 08/714,437 09/16/96

**\*\*371 (NAT'L STAGE) DATA\*\*\*\*\***  
 VERIFIED

**\*\*FOREIGN APPLICATIONS\*\*\*\*\***

VERIFIED	JAPAN	07-236865	09/14/95
	JAPAN	08-241939	09/12/96
	JAPAN	08-319568	11/29/96

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/24/99

Foreign Priority claimed 35 USC 119 (a-d) conditions met <input checked="" type="checkbox"/> yes <input type="checkbox"/> no	STATE OR COUNTRY JPX	SHEETS DRAWING 15	TOTAL CLAIMS 34	INDEPENDENT CLAIMS 3
Verified and Acknowledged <u>Examiner's Initials</u> <u>Initials</u>				

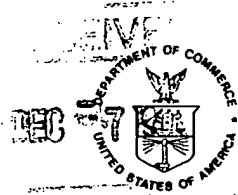
SEE CUSTOMER NUMBER: 005514

METHOD FOR FABRICATING SEMICONDUCTOR DEVICE

FILING FEE RECEIVED \$1,142	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing; Ext. of me) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit _____
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FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP. ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/429,530	10/28/99	1765	\$1,012.00	35.C12395CIP	15	34	3

005514

FITZPATRICK CELLA HARPER & SCINTO  
30 ROCKEFELLER PLAZA  
NEW YORK NY 10112

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) YOSHIHIKO FUKUMOTO, ATSUGI-SHI, JAPAN.

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A CIP OF 08/979,957 11/26/97  
AND A CIP OF 08/714,437 09/16/96

FOREIGN APPLICATIONS-	JAPAN	07-236865	09/14/95
	JAPAN	08-241939	09/12/96
	JAPAN	08-319568	09/26/96

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 11/24/99

TITLE

METHOD FOR FABRICATING SEMICONDUCTOR DEVICE

PRELIMINARY CLASS: 438

DATA ENTRY BY: LANCASTER, DAVID

TEAM: 04 DATE: 11/24/99



(See reverse for new important information)

LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "FOREIGN FILING LICENSE GRANTED" followed by a date appears on the reverse side of this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.11. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations, especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR Parts 121-128) ); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j) ); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "FOREIGN FILING LICENSE GRANTED" DOES NOT appear on the reverse side of this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE ---- The Following Information about the Filing Receipt:**

The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.

The words "new," "improved," "improvement," "improvements in or relating to" are not included as the first words in the title of an application because a patent application is, by nature, a new idea or improvement.

The title may be truncated if it consists of more than 4 lines of 70 characters each (letters and spaces combined).

The inventor information may be truncated if the family name consists of more than 25 characters (letters and spaces combined) and if the given name consists of more than 25 characters (letters and spaces combined). The inventor's residence allows for up to 40 characters (letters and spaces combined).

The docket number allows a maximum of 12 characters.

If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Customer Address may have been modified to conform to U.S. Postal rules.

Please direct correction, including a copy of your Filing Receipt, to:  
Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231